



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/920,383	08/01/2001	Shunsuke Yajima	70904-56304	4400
21874	7590	01/18/2006	EXAMINER	
EDWARDS & ANGELL, LLP P.O. BOX 55874 BOSTON, MA 02205			JOO, JOSHUA	
			ART UNIT	PAPER NUMBER
			2154	

DATE MAILED: 01/18/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/920,383	<b>Applicant(s)</b> YAJIMA ET AL.	
	<b>Examiner</b> Joshua Joo	<b>Art Unit</b> 2154	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 12 October 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-6, 8, 10, 12, 14, 16, 18, 20, 22, 24 and 26 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6, 8, 10, 12, 14, 16, 18, 20, 22, 24 and 26 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

***Response to Amendment filed 10/12/2005***

1. Claims 1-6, 8, 10, 12, 14, 16, 18, 20, 22, 24, and 26 are presented for examination.

***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claim 26 is rejected under 35 U.S.C. 102(e) as being unpatentable by Mazzagatte et al, US Patent #6,862,583 (Mazzagatte hereinafter).

4. As per claim 26, Mazzagatte teaches the invention as claimed including an apparatus for receiving print data and identification data, where printing is based on matching of identification information. Mazzagatte's teachings comprise of:

an operation data receiving section for receiving operation data from a data preparation device (Col 8, lines 59-63. Computer transmits print data to printer.) which prepares the operation data and identification data corresponding to the operation data (Col 9, lines 8-10. Print data and identification information.);

an identification data receiving section for receiving the identification data transmitted automatically from a portable storage device when the portable data storage means approaches said electronic device (Col 9, lines 56-59. Upon presenting the smart-card to the printer, printer first verifies the unique identification information.), the identification data receiving section

Art Unit: 2154

having a function to store the identification data received from said data preparation device (Col 8, lines 35-37. Smart card contains identification information. Col 9, lines 52-55. Verifies identification information from smart card. Col 10, lines 16-19. Identification data stored in print queue.); and

an operation section for performing an operation based on the operation data which is received by said operation receiving section and corresponds to the identification data received by said identification data receiving section (Col 10, lines 16-19. Compares identification information from smart card with identification information with print data.).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-6, 8, 10, 12, 14, 16, 18, 22, and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mazzagatte in view of Francis et al, US Patent #6,650,430 (Francis hereinafter).

7. As per claim 1, Mazzagatte teaches substantially the invention as claimed including the method and system for generating print data and identification data, where printing is based on matching of identification information. Mazzagatte's teachings comprise of:

Art Unit: 2154

data preparation means for preparing operation data and identification data corresponding to the operation data (Col 7, lines 46-48; Col 8, lines 19-23. Submits print data and identification information.);

an electronic device which carries out processing based on the operation data prepared by said data preparation means (Col 9, lines 61-62. Printer prints data.); and

said portable data storage means including identification data storage means for storing the identification data (Col 8, lines 35-38. Smart card contains identification information. Col 5, lines 23-25. Write to smart card.),

wherein said portable data storage means transmits automatically the identification data stored in said identification data storage means to said electronic device when said portable data storage means approaches said electronic device (Col 9, lines 56-59. Upon presenting the smart-card to the printer, printer first verifies the unique identification information.), and when said electronic device receives the identification data from said portable data storage means (Col 9, lines 56-59. Printer verifies information smart card.), said electronic device carries out the processing based on the operation data corresponding to the identification data (Col 9, lines 61-62. Printer proceeds with printout process.).

8. Mazzagatte teaches substantial features of the claimed invention including a smart-card interface device to write to the smart card (Col 5, lines 23-25) and linking identification information on the smart card with the print job (Col 9, lines 57-58). However, Mazzagatte does not explicitly teach of means for receiving section for receiving identification data from a data preparation device.

9. Francis teaches of providing secure printing, where the computer enters identification information into the memory of the smart card (Col 3, lines 50-52).

10. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Mazzagatte and Francis because both teachings deal with providing secure printing by using smart cards that contain identification information.

Furthermore, the teachings of Francis to enter the identification information into the smart card would improve the teachings of Mazzagatte by specifying how the smart card contains the identification information and allowing the smart card to be updated with newer information.

11. As per claim 2, Mazzagatte teaches the electronic device control system of claim 1, further comprising: transmitting means for transmitting the operation data prepared by said data preparation means to said electronic devices (Col 8, lines 59-63. Sender submits print job and is transmitted to the printer.).

12. As per claim 3, Mazzagatte teaches the electronic device control system of claim 2 wherein: said transmitting means is a network, which connects at least one data preparation means and at least one electronic device (Fig 1. #100).

13. As per claim 4, Mazzagatte does not teach the electronic device control system of claim 1, wherein: said portable data storage means receives the identification data from said data preparation means and transmits the identification data to said electronic device by wireless.

14. Francis teaches of inputting identification information into the memory of a smart card, where the smart card can be a contactless smart card or a RF identification card (Col 3, lines 59-64). Francis also teaches of transmitting information from the smart card to the printer (Col 7, lines 36-39).

Art Unit: 2154

15. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Mazzagatte and Francis because both teachings deal with providing secure printing by using smart cards that contain identification information.

Furthermore, the teachings of Francis to provide a contactless card and to transmit information to the printer would improve the teachings of Mazzagatte by allowing the smart card to operate without contact with the printer and for the printer to receive the information to verify the identification information.

16. As per claim 5, Mazzagatte teaches the electronic device control system of claim 1, wherein:

said electronic device includes operation data storage means for storing the operation data transmitted from said data preparation means (Col 9, lines 8-10. Printer stores print data.); and

said electronic device checks the operation data stored in said operation data storage means against the identification data received from said portable data storage means when receiving the identification data (Col 9, line 56-58. Printer verifies the identification information from smart card.) , detects the operation data corresponding to the received identification data (Col 10, lines 14-18. Compares information from smart card with identification stored in print queue.), and carries out the processing based on the operation data (Col 10, line 20. Printout process.).

17. As per claim 6, Mazzagatte teaches the electronic device control system of claim 3 further comprising: operation data management means (Col 6, line 62. Server), connected to said network, for storing the operation data prepared by said data preparation means and for

Art Unit: 2154

managing a data output process to output the operation data to said electronic device (Col 6, lines 62-65. Server queues print data and sends data to a printer.).

18. As per claim 8, Mazzagatte teaches the electronic device control system of claim 1, wherein:

said electronic device includes display means (Col 9, line 65. Display on printer.); and

said electronic device includes control means which confirms the content of the operation data (Col 20-24. Notifies of print job in queue.), judges whether or not said electronic device has function means for performing a selected function required to perform an operation based on the operation data (Col 9, lines 57-59; Col 10, lines 17-19. Verifies print data to print or not.), then indicates the judgment result on said display means (Col 9, lines 65-66. Displays notification.).

19. As per claim 10, Mazzagatte teaches the electronic device control system of claim 1, wherein:

said portable data storage means also stores user management identification data (Col 8, lines 20-37. Smart card contains identification information.), and verifies user management identification data on said electronic device (Col 9, lines 57-58. Printer verifies identification information.); and

said electronic device controls to limit the performance of an operation of said electronic device based on the user management identification data received from said portable data storage means (Col 9, lines 60-64. If identification information is verified, printer proceeds with printout process. If not, notification is made of failure.).



Art Unit: 2154

20. However, Mazzagatte does not specifically teach of transmitting the user management identification data to said electronic device.

21. Francis teaches of transmitting information from the smart card to the printer (Col 7, lines 36-39), where the smart card can be a contactless smart card or a RF identification card (Col 3, lines 59-64).

22. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Mazzagatte and Francis because both teachings deal with providing secure printing by using smart cards that contain identification information. Furthermore, the teachings of Francis to transmit information to the printer would improve the teachings of Mazzagatte by allowing the printer to receive the identification by wireless means to verify the information in order to process the print job.

23. As per claim 12, Mazzagatte teaches the electronic device control system of claim 10, wherein:

the user management identification data includes data of at least one kind selected from the group consisting of department identification data identifying the department in which said data preparation means for preparing operation data is installed (Col 8, lines 27-30. Identification information includes organization unit.), user identification data set for each user (Col 8, lines 27-30. User's information.), and storage means identification data for each portable storage means (Col 8, lines 34-38. Smart card contains identification information.).

24. As per claim 14, Mazzagatte teaches the electronic device control system of claim 10 wherein: the user management identification data is registered in said portable data storage

Art Unit: 2154

means in advance (Col 8, lines 25-30, 33-37. Smart card contains identification information including user information data.).

25. As per claim 16, Mazzagatte teaches the electronic device control system of claim 1, wherein: said electronic device is an image output device (Col 9, lines 57-58. Printer.), and the operation data is print data (Col 9, lines 9. Print data.).

26. As per claim 18, Mazzagatte teaches the electronic device control system of claim 1, wherein: said data preparation means is a personal computer (Col 7, lines 46-47. Desktop computer.).

27. As per claim 22, Mazzagatte teaches substantially the invention as claimed including a portable data storage device for storing identification data and using the identification to print data. Mazzagatte's teachings comprise of:

a data preparation device (Col 7, lines 46-47. Computer) which prepares operation data to control the operation of an electronic device and identification data corresponding to the operation data (Col 8, lines 19-24. Submits print job with identification information.),

storage means for storing the identification data (Col 8, lines 34-37. Smart card contains identification information.); and

a transmitting section automatically transmitting the identification data stored in said storage means to said electronic device when said portable data storage means approaches said electronic device (Col 9, lines 56-59. Upon presenting the smart-card to the printer, printer first verifies the unique identification information.) which carries out the processing based on the

Art Unit: 2154

operation data corresponding to the received identification data (Col 9, lines 61-62; Col 10, lines 16-19. Printout process.).

28. Mazzagatte teaches substantial features of the claimed invention including being able to write on to the smart card (Col 5, lines 23-25) and linking identification information with the print job (Col 9, lines 57-58). However, Mazzagatte does not explicitly teach of a receiving section for receiving identification data from a data preparation device.

29. Francis teaches of entering information into the memory of a smart card (Col 3, lines 40-52) and transmitting the information to the printer (Col 7, lines 37-40).

30. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Mazzagatte and Francis because the teachings of Francis to enter information into the smart card and for the smart card to transmit the information from the smart card would improve the teachings of Mazzagatte by specifying how the smart card contains the identification information and allowing for the updating of information in the smart card.

31. As per claim 24, Mazzagatte teaches substantially the invention as claimed including the method and apparatus for generating print data and identification data, where printing is based on matching of identification information. Mazzagatte's teachings comprise of:

a data preparation section for preparing operation data to control the operation of an electronic device and identification data corresponding to the operation data (Col 8, lines 20-24. User submits print job and identification information. Col 7, lines 45-47. Computer.);

Art Unit: 2154

an operation data transmitting section for transmitting the operation data prepared by said data preparation section to said electronic device (Col 8, lines 59-61. Transmits print job to the printer.);

a portable data storage device which stores the received identification data and automatically transmits the stored identification data to said electronic device when said portable data storage means approaches said electronic device (Col 9, lines 56-59. Upon presenting the smart-card to the printer, printer first verifies the unique identification information.),

wherein said electronic device, upon receipt of the identification data from said portable data storage device, performs an operation based on the operation data corresponding to the received identification data, selected from among a plurality of operation data received from said operation data transmitting section (Col 10, lines 12-20. Print jobs. Compares received identification information with identification information stored with a print job. Col 10, lines 38-40. Printers data.).

32. Mazzagatte teaches substantial features of the claimed invention including being able to write on to the smart card (Col 5, lines 23-25) and linking identification information with the print job (Col 9, lines 57-58). However, Mazzagatte does not explicitly teach of a receiving section for receiving identification data from a data preparation device.

33. Francis teaches of providing secure printing, where the computer enters identification information into the memory of the smart card (Col 3, lines 50-52). The smart card transmits information from the smart card to the printer (Col 7, lines 36-39), where the smart card can be a contactless smart card or a RF identification card (Col 3, lines 59-64). .

Art Unit: 2154

34. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Mazzagatte and Francis because both teachings deal with providing secure printing by using smart cards that contain identification information.

Furthermore, the teachings of Francis to input information to the smart card and to transmit information to the printer would improve the teachings of Mazzagatte by specifying how the smart card contains the identification information and allows for the updating of the smart card.

35. Claim 20 is rejected under 35 U.S.C. 103(a) as being unpatentable over Mazzagatte and Francis, in view of Peters, US Patent #6,601,093 (Peters hereinafter).

36. As per claim 20, Mazzagatte teaches that the portable data storage may be a smart card (Col 8, lines 33-34). However, Mazzagatte does not teach the electronic device control system of claim 1, wherein: said portable data storage means includes at least one element selected from the group consisting of a portable phone; and a portable information processing terminal.

37. Peters teaches the concept of a wireless device transmitting information to a printer (Col 4, lines 36-50).

38. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Mazzagatte, Francis, and Peters because the teachings of Peters for a wireless device to transmit information to a printer would improve the system of Mazzagatte and Francis by providing different mobile devices that can store identification information and be implemented in the system.

***Response to Arguments***

39. Applicant's arguments filed 10/12/2005 have been fully considered but they are not persuasive.

40. Applicant argued that (1) According to the Mazzagatte reference, unique identification information identifies the person who is the intended recipient, while claim 1 recites that the identification corresponds to the operation data; and (2) Mazzagatte nor Francis, individually or in combination, teach, mention, or suggest automatically transmitting the identification data to the electronic device when the portable data storage device is in the proximity of the electronic device.

Examiner traverses the arguments:

41. As to point (1), Mazzagatte teaches regarding the unique identification information:

- i) Column 8, lines 19-26, "This information is generally contained in a digital certificate. The identification information links the print job to the intended recipient..."
- ii) Column 10, lines 16-18, "The printer utilizes the information presented by the smart-card and compares it to the identification information stored in the print queue."

42. The unique identification in the Mazzagatte contains both the person's information and identification data for the print data. From quoted section (i), Mazzagatte explicitly teaches that the identification information corresponds to the operation data because the identification information is linked to the print data. Quoted section (ii) further reaffirms this by stating that the printer compares the identification information in the smart-card with the identification

Art Unit: 2154

information with the print queue. If the identification information matches, then the print job is printed because the information and the print job are related and correspond to each other.

43. As to point (2), Mazzagatte teaches that the printer reads the identification information stored on the smart-card when the smart-card is presented to the smart-card reader (Col 9, lines 56-59). Therefore, for the smart-card reader to read the smart-card, it must be presented to the reader, therefore in proximity of the printer.

Furthermore, when the smart-card is in proximity of the printer, the printer reads the smart-card and accesses the identification information stored on the smart-card. The printer then uses the identification information for comparison with queued print jobs (Col 10, lines 16-19). There is no user interaction involved in printing the queued print job. As long as the smart-card is in proximity of the smart-card reader, the identification information is accessed by the printer, and transmitted to the printer. The print job is then printed (Col 10, lines 38-40). Thus, Mazzagatte clearly teaches the function of automatically sending the identification information to the printer when the smart card is presented to the printer.

### ***Conclusion***

44. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

45. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period

Art Unit: 2154


will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

46. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joshua Joo whose telephone number is 571 272-3966. The examiner can normally be reached on Monday to Friday 7 to 4.

47. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John A. Follansbee can be reached on 571 272-3964. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

48. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

January 10, 2006  
JJ

 **JOHN FOLLANSBEE**  
**SUPERVISORY PATENT EXAMINER**  
**TECHNOLOGY CENTER 2100**